INVICTUS SECURITIES

REVISED FORM- APRIL 2023

(A member of the Zimbabwe stock Exchange) 37 Victoria Drive Newlands, P.O.Box Cy3335 Cy Harare Tel: 04 776607, 788257/8

INDIVIDUAL CLIENT ACCOUNT OPENING MANDATE FORM

Carefully complete the form and send back a signed copy, together with the KYC requirements indicated at the end of the form

NB: ALL FIELDS ARE MANDATORY AND SHOULD BE TRUTHFULLY COMPLETED INORDER FOR ACCOUNT TO BE OPENED

Date……………………………..................

1) CLIENT GENERAL INFORMATION

FIRST NAME:		
SURNAME:		
ID NUMBER:		
DATE OF BIRTH:		
GENDER:		
MARITAL STATUS:		
COUNTRY OF RESIDENCE:		
NATIONALITY:		
RACE:		
OCCUPATION:		
PLEASE TICK LOCAL INVESTOR		
FOREIGN INVESTOR		IF FOREIGN, STATE COUNTRY……………………………………….

2). CLIENT CONTACT DETAILS

RESIDENTIAL ADDRESS:	
EMAIL ADDRESS:	
MOBILE NO" ……………………………………………	TELEPHONE NO"…………………………………
WORK TELEPHONE NO" ………………………..	

3. CLIENT BANK ACCOUNT DETAILS

ZWL ACCOUNT BANK DETAILS			NOSTRO FCA ACCOUNT BANK DETAILS	
BANK NAME:			BANK NAME:	
ACCOUNT NAME:			ACCOUNT NAME:	
ACCOUNT NUMBER:			ACCOUNT NUMBER	
BRANCH			BRANCH	
SWIFT CODE:			SWIFT CODE	
COUNTRY :			COUNTRY	

DECLARATION OF SOURCE OF FUNDS: MANDATORY

4) STATE SOURCE OF FUNDS FOR INVESTMENT : ………

5) SPECIAL CLIENT INSTRUCTION(S) (client can provide specific special instructions with regards to their acount)

………

6) INVICTUS SECURITIES ZIMBABWE TRUST ACCOUNT BANK DETAILS

All Investment Funds shall be deposited in the following Invictus Secuities- ZB Trust Account bank details:

ACCOUNT NAME: INVICTUS SECURITIES ZIMBABWE (PVT) LTD
Bank: ZB
Branch: NATAL
Account Number: 4169-225192-081
Branch Sort Code :4169

NB: NO THIRD PARTY PAYMENTS ALLOWED WHEN EITHER FUNDING ACCOUNT OR RECEIVE SALE PROCEEDS, AS PER SI103 OF 2022

NB: ALL PURCHASES ARE TO BE PREFUNDED, AS PER REGULATORY REQUIREMENT

NB: SALE PROCEEDS PAYMENET SHALL ONLY BE EFFECTED AFTER 3 WORKING DAYS AS PER T+3 TRADING BASIS

STANDARD TERMS AND CONDITIONS

Please sign and return this mandate as acknowledgement that;

1). Invictus Securities (PVT) Ltd, a member of the Zimbabwe Stock Exchange administers all client share purchasing and share selling transactions.

2). Client, who is acting on behalf of its clients, refers to the person or party making this application and includes the person or party who requires monies to be invested on behalf of its clients by Invictus.

3). Placement of order (buy orsell) should be in the form of writing, telephone (followed byawritten confirmation) and via e—mail,

4). All payments should be made by bank transfer or deposit. Payments for sale of shares will be made strictly in favour of the clonistent client name
NB: No third party payments are permitted, according to SI103A of 2022

5). A buy order should be accompanied by proof of deposited funds and likewise the sell order to be accompanied by valid share certificates/holding reports

6). Payments after sale of shares will be effected after 3 working days.

7). In respect of clients dealing in shares, Invictus Securities through the directive of the Securities Exchnage Commision of Zimbabwe (SECZ) and Zimbabwe Stock Exchange(ZSE), will deduct statutory fees and/or commision

8). The client shall advise Invictus Securities In writing of any change to the client's address, bank account details or any other important information changes Information under which circumstances if not provided Invictus Securities will not be liable for any loss arising directly or indirectly from such

9). Invictus Securities will not be held liable foranyloss resulting from the client's investment objectives unless such loss is incurred as a result of Invictus Securities wilful default, negligence, fraud and/ or dishonesty.

10). Agree that as an agent Invictus Securities will under no circumstances receive cash or open cheques to clients.

CLIENT DECLARATION: I Agree that all information provided in this form is true and correct and that all the documentation information provided in support of such application is genuine.

CLIENT NAME:

CLIENT SIGNATURE:

DATE:

INVICTUS REPRESENTS AND WARRANTS THAT;

i) It is an organization duly organised, validly existing and in good standing under the laws of its jurisdiction and has full power and authority to enter into and perform in terms of this mandate;

ii) There is not pending, or to its knowledge, threatened against it any action, suit or proceeding at law or in equity or before any court, tribunal, governmental body, agency or official or any arbitrator that is likely to affect its performance of Its obligations under these Terms and Conditions;

iii) It will only accept orders from the client;

iv) It will keep a record of all trades concluded on behalf of the client:

v) It has or will have obtained by the date that these Terms and Conditions are signed, all relevent permits, licences and consents that are required by it and such permits, licences and cosents are in full force and effect and all conditions of any such consents have been complied with.

This mandate is governed by the law of Zimbabwe

MANDATORY COMPLIANCE REQUIREMENTS(KYC)

To ensure that Invictus Securities (Private) Limited complies with local regulatory and compliance requirements, we require the following to be provided in order for your account to be opened

For each individual , the following are basic KYC requirements as per regulation and further information may be be required by our Compliance Desk for Due Dillegence purposes

1	**Identity: A certified copy of -ID dcoument/ Passport or copy of any other government issued ID document bearing their ID no", photograph and signature.**
2	**Proof of Residence: Any ORIGINAL address verification document (utility bills, Tenance Agreement) dated within last 3-months**
3	**Evidence for Source of Funds: Bank Statement/ Confirmation of employement, Payslip, etc**
4	**2 Passport-Size photographs**
5	**A signed Parental consent form/letter in the case the Individual opening an accoun is a Minor**

For Invictus Office Use Only

KYC CHECK LIST

	KYC Document	*Tick(If Avalaible)*	*Verified*	*Certified*	*Comment*
1	***NATIONAL I D***				
2	***Proof of Resedince***				
3	***Source of Funds***				
4	***Passport Photos***				
5	***For Minor(Guadian Consent)***				

Received & Checked by:

Aproved by: Compliance Officer …...; Perceived AML-Client Risk Profile …..

: Management …..

CLIENT CSD NO" :